

Facebook Inc  
Form 4  
September 13, 2016

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Zuckerberg Mark

(Last) (First) (Middle)

C/O FACEBOOK, INC., 1601  
WILLOW ROAD

(Street)

MENLO PARK, CA 94025

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
Facebook Inc [FB]

3. Date of Earliest Transaction  
(Month/Day/Year)  
09/09/2016

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
COB and CEO

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)			
			Code	V	Amount	(A) or (D)	Price			
Class A Common Stock	09/09/2016		C		253,151	A	\$ 0	253,151	I	By Chan Zuckerberg Foundation (1)
Class A Common Stock	09/09/2016		S(2)		111,543	D	\$ 127.7477 (3)	141,608	I	By Chan Zuckerberg Foundation (1)
Class A Common Stock	09/09/2016		S(2)		106,994	D	\$ 128.6657 (4)	34,614	I	By Chan Zuckerberg Foundation (1)

Edgar Filing: Facebook Inc - Form 4

Class A Common Stock	09/09/2016	<u>S(2)</u>	34,614	D	\$ 129.5468 <u>(5)</u>	0	I	By Chan Zuckerberg Foundation <u>(1)</u>
Class A Common Stock	09/09/2016	C	116,594	A	\$ 0	116,835	I	By CZI Holdings, LLC <u>(6)</u>
Class A Common Stock	09/09/2016	<u>S(2)</u>	52,007	D	\$ 127.756 <u>(7)</u>	64,828	I	By CZI Holdings, LLC <u>(6)</u>
Class A Common Stock	09/09/2016	<u>S(2)</u>	49,068	D	\$ 128.676 <u>(8)</u>	15,760	I	By CZI Holdings, LLC <u>(6)</u>
Class A Common Stock	09/09/2016	<u>S(2)</u>	15,760	D	\$ 129.5558 <u>(9)</u>	0	I	By CZI Holdings, LLC <u>(6)</u>
Class A Common Stock	09/12/2016	C	254,398	A	\$ 0	254,398	I	By Chan Zuckerberg Foundation <u>(1)</u>
Class A Common Stock	09/12/2016	<u>S(2)</u>	19,160	D	\$ 126.3861 <u>(10)</u>	235,238	I	By Chan Zuckerberg Foundation <u>(1)</u>
Class A Common Stock	09/12/2016	<u>S(2)</u>	103,729	D	\$ 127.3071 <u>(11)</u>	131,509	I	By Chan Zuckerberg Foundation <u>(1)</u>
Class A Common Stock	09/12/2016	<u>S(2)</u>	131,509	D	\$ 128.3031 <u>(12)</u>	0	I	By Chan Zuckerberg Foundation <u>(1)</u>
Class A Common Stock	09/12/2016	C	117,413	A	\$ 0	117,413	I	By CZI Holdings, LLC <u>(6)</u>
Class A Common Stock	09/12/2016	<u>S(2)</u>	11,304	D	\$ 126.4779 <u>(13)</u>	106,109	I	By CZI Holdings, LLC <u>(6)</u>
Class A Common Stock	09/12/2016	<u>S(2)</u>	49,846	D	\$ 127.3785 <u>(14)</u>	56,263	I	By CZI Holdings, LLC <u>(6)</u>
Class A Common Stock	09/12/2016	<u>S(2)</u>	56,263	D	\$ 128.3429 <u>(15)</u>	0	I	By CZI Holdings, LLC <u>(6)</u>

Class A Common Stock	827,870	I	By Mark Zuckerberg, Trustee Of The Mark Zuckerberg 2014 Grat No. 1 Dated 5/8/2014 <sup>(16)</sup>
Class A Common Stock	1,139,412	I	By Mark Zuckerberg, Trustee Of The Mark Zuckerberg 2014 Grat No. 2 Dated 5/8/2014 <sup>(17)</sup>
Class A Common Stock	1,235,844	I	By Mark Zuckerberg, Trustee Of The Mark Zuckerberg 2014 Grat No. 3 Dated 5/8/2014 <sup>(18)</sup>
Class A Common Stock	350,169	I	By Mark Zuckerberg, Trustee Of The Mark Zuckerberg Trust Dated July 7, 2006 <sup>(19)</sup>

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

SEC 1474  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)
---	--	---	---	--------------------------------------	---	--	---

Edgar Filing: Facebook Inc - Form 4

	Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Class B Common Stock <u>(20)</u>					09/09/2016		Class A Common Stock	253,151	
Class B Common Stock <u>(20)</u>	C				253,151	<u>(20)</u>	<u>(20)</u>		
Class B Common Stock <u>(20)</u>					09/09/2016		Class A Common Stock	116,594	
Class B Common Stock <u>(20)</u>	C				116,594	<u>(20)</u>	<u>(20)</u>		
Class B Common Stock <u>(20)</u>					09/12/2016		Class A Common Stock	254,398	
Class B Common Stock <u>(20)</u>	C				254,398	<u>(20)</u>	<u>(20)</u>		
Class B Common Stock <u>(20)</u>					09/12/2016		Class A Common Stock	117,413	
Class B Common Stock <u>(20)</u>	C				117,413	<u>(20)</u>	<u>(20)</u>		
Class B Common Stock <u>(20)</u>						<u>(20)</u>	<u>(20)</u>	Class A Common Stock	4,857,323

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Zuckerberg Mark C/O FACEBOOK, INC. 1601 WILLOW ROAD MENLO PARK, CA 94025	X	X	COB and CEO	

## Signatures

/s/ Michael Johnson as attorney-in-fact for Mark Zuckerberg  
 09/13/2016  
 \*\*Signature of Reporting Person Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, see Instruction 4(b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Shares held of record by Mark Zuckerberg, Trustee and Settlor of the Chan Zuckerberg Foundation (fka the Openness Trust dated April 2, 2012) ("CZ Foundation").
- (2)

## Edgar Filing: Facebook Inc - Form 4

The sales reported were effected by CZ Foundation and CZI Holdings, LLC (fka Chan Zuckerberg Initiative, LLC ) ("CZI"), as applicable, pursuant to their Rule 10b5-1 trading plans. These sales are part of Mr. Zuckerberg's previously-announced plan to gift or otherwise direct substantially all of his shares of Facebook stock, or the net after-tax proceeds from sales of such shares, to further the mission of advancing human potential and promoting equality by means of philanthropic, public advocacy, and other activities for the public good, with such plan to sell or gift no more than \$1 billion of Facebook stock each year through 2018.

- (3) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$127.12 to \$128.11 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (4) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$128.12 to \$129.11 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (5) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$129.12 to \$129.86 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (6) Shares held of record by CZI. Mark Zuckerberg, Trustee of The Mark Zuckerberg Trust dated July 7, 2006 ("2006 Trust") is the sole member of CZI. Mr. Zuckerberg is the sole trustee of the 2006 Trust and, therefore, is deemed to have sole voting and investment power over the securities held by CZI.
- (7) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$127.13 to \$128.12 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (8) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$128.13 to \$129.11 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (9) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$129.13 to \$129.865 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (10) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$125.81 to \$126.80 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (11) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$126.81 to \$127.80 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (12) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$127.81 to \$128.74 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (13) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$125.86 to \$126.85 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (14) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$126.86 to \$127.85 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (15) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$127.86 to \$128.74 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the

## Edgar Filing: Facebook Inc - Form 4

staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

- (16) Shares held of record by Mark Zuckerberg, Trustee of The Mark Zuckerberg 2014 GRAT No. 1, dated 5/8/2014.
- (17) Shares held of record by Mark Zuckerberg, Trustee of The Mark Zuckerberg 2014 GRAT No. 2, dated 5/8/2014.
- (18) Shares held of record by Mark Zuckerberg, Trustee of The Mark Zuckerberg 2014 GRAT No. 3, dated 5/8/2014.
- (19) Shares held of record by Mark Zuckerberg, Trustee of The Mark Zuckerberg Trust dated July 7, 2006.
- (20) The Class B Common Stock is convertible into the issuer's Class A Common Stock on a 1-for-1 basis (a) at the holder's option or (b) upon certain transfers of such shares and has no expiration date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.